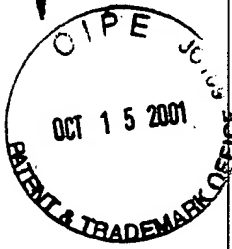


PATENT APPLICATION
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

SECTOR



Applicant(s): Wang et al.

Docket: YOR9-2001-0451US1 (8728-528)

Serial No.: 09/925,596

Filed: August 9, 2001

For: **METHOD AND APPARATUS FOR AUTOMATICALLY UPDATING
STOCK AND MUTUAL FUND GRAMMARS IN SPEECH
RECOGNITION SYSTEMS**

Assistant Commissioner for Patents
Washington, DC 20231


**RESPONSE TO NOTICE TO FILE MISSING PARTS
OF APPLICATION - FILING DATE GRANTED**

Sir:

In response to the Notice to File Missing Parts of Application - Filing Date
Granted, dated September 17, 2001, Applicant encloses herewith a properly executed original
Declaration and Power of Attorney in compliance with 37 C.F.R. §1.63 along with a copy of
the Notice to File Missing Parts of Application - Filing Date Granted and substitute drawings
Figures 1-2.

Please charge the required fee of \$130.00 to cover the surcharge under 37
C.F.R. §1.16(e) to Deposit Account No. 50-0510/IBM (Yorktown Heights). Also, in the event
any additional extensions of time are required, please treat this paper as a petition to extend the
time as required and charge Deposit Account No. 50-0510/IBM. **TWO (2) COPIES OF
THIS SHEET ARE ENCLOSED.**

Respectfully submitted,


Frank Chau
Registration No. 34,136
Attorney for Applicant(s)

F. CHAU & ASSOCIATES, LLP
1900 Hempstead Turnpike, Suite 501
East Meadow, New York 11554
(516) 357-0091
FC/GJR:mel

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first
class mail, postpaid in an envelope, addressed to the: Assistant Commissioner for Patents, Washington, D.C.
20231 on October 12, 2001.

Dated: 10/12/01


Frank Chau

0925596-1050



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/925,596	08/09/2001	Zhong-Hua Wang	YOR9-2001-0451US1 (8728 -

CONFIRMATION NO. 5429

FORMALITIES LETTER



OC000000006565428

Frank Chau
F. CHAU & ASSOCIATES, LLP
Suite 501
1900 Hempstead Turnpike
East Meadow, NY 11554

Date Mailed: 09/17/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

10/17/2001 MBELETE1 00000075 500510

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01 FC:105

130.00 CH

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

DISCUSSION